



2100  
UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-381)

2164  
SPECTOR  
PATENT

In The Application Of:

Schmitz, et al.

Serial No. 09/896,061

Filed: June 29, 2001

Title Automated Execution System Having  
Participation

Examiner:

Group Art Unit:

COPY OF PAPERS  
ORIGINALLY FILED

TRANSMITTAL LETTER

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

In regard to the above identified application:

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1. We are transmitting herewith the attached:

- A Copy of Notice To File Missing Parts;
- Response to Notice to File Missing Parts;
- Executed Copy of Oath of Declaration; and
- Return Receipt Postcard.

2. With respect to additional fees:

☒ Check in the amount of \$130.00.

3. Please charge any additional fees or credit overpayment to Deposit Account No.13-2490.  
A duplicate copy of this sheet is enclosed.

4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on this 19<sup>th</sup> day of October, 2001.

Respectfully submitted,

By:

Mark W. Triplett  
Reg. No. 49,002



PATENT  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-381)

# 5

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For: Automated Execution System )  
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Examiner:

Group Art Unit:

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RESPONSE TO NOTICE TO FILE MISSING PARTS  
MAILED AUGUST 21, 2001

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Commissioner for Patents  
Washington, D.C. 20231

Sir:

Responsive to the Notice to File Missing Parts of Application, mailed August 21, 2001,  
Applicants submit herewith an executed copy of their Declaration, pursuant to 37 C.F.R. §§1.63  
and 1.68.

A check in the amount of \$130.00 accompanies this Response.

Respectfully submitted,  
**McDonnell Boehnen Hulbert & Berghoff**

Date: October 19, 2001

By:

Mark W. Triplett  
Reg. No. 49,002



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	09/896,061	FILING DATE	06/29/2001	FIRST NAMED APPLICANT	David J. Schmitz	ATTY. DOCKET NO./TITLE	01-381
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Mark W. Triplett  
McDonnell Boehnen Hulbert & Berghoff  
300 S. Wacker Drive, 32nd Floor  
Chicago, IL 60606

CONFIRMATION NO. 9465

RESEND COVER LETTER



\*OC000000006821495\*

Date Mailed: 10/17/2001

## COVER LETTER FOR RESENDING CORRESPONDENCE

A courtesy copy of the Notice mailed on 08/21/2001 is enclosed. The time period for reply continues to run from the mail date of that Notice.

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*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/896,061	06/29/2001	David J. Schmitz	01-381

CONFIRMATION NO. 9465

## FORMALITIES LETTER



\*0000000006456084\*

Mark W. Triplett  
 McDonnell Boehnen Hulbert & Berghoff  
 300 S. Wacker Drive, 32nd Floor  
 Chicago, IL 60606

Date Mailed: 08/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

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